

BEFORE THE ARIZONA CORPORATION COM



0000049790

WILLIAM A. MUNDELL

Chairman

JIM IRVIN

Commissioner

MARC SPITZER

Commissioner

Arizona Corporation Commission

DOCKETED

FEB 16 2001

In the matter of )

PROPOSED RULEMAKING )  
TO AMEND RULE SPECIFYING )  
RECOGNIZED SECURITIES )  
MANUALS )

DOCKET NO. RS-00000A-00-0822

DECISION NO. 63391

ORDER

Open Meeting

February 13 and 14, 2001

Phoenix, AZ

BY THE COMMISSION:

INTRODUCTION

The Securities Division (the "Division") of the Arizona Corporation Commission (the "Commission") has forwarded to the Commission a proposal recommending that the Commission amend A.A.C. R14-4-114 ("rule 114") of the Arizona Administrative Code rules governing the administration of the securities statutes.

FINDINGS

1. Rule 114 specifies the recognized securities manuals for purposes of the manual exemption in A.R.S. § 44-1844(A)(11).

2. The names of several of the manuals specified in rule 114 have changed, and one of the manuals specified in rule 114 is no longer in print. The Division recommends amending rule 114 to reflect those changes.

3. The Division has recommended that a notice of the proposed rulemaking regarding an amendment to rule 114 be forwarded to the secretary of state. The Division also has recommended that the Hearing Division schedule a hearing to receive public comment on rule 114

1 no sooner than April 16, 2001.

2 4. The Commission finds that the Division's recommendations have merit and that the  
3 proposed amendment to rule 114 should be published and public comment obtained.

4 CONCLUSION OF LAW

5 The Commission has the authority for the proposed rulemaking under the Arizona  
6 Constitution Article XV §§ 6 and 13, and under A.R.S. §§ 44-1821 and 44-1844.

7 ORDER

8 THEREFORE IT IS ORDERED that a hearing be set by the Hearing Division on this  
9 matter at the Commission Offices in Phoenix, Arizona, no earlier than April 16, 2001.

10 IT IS FURTHER ORDERED that the Division prepare a notice of the proposed rulemaking  
11 and forward it to the office of the secretary of state for publication in the Arizona Administrative  
12 Register.

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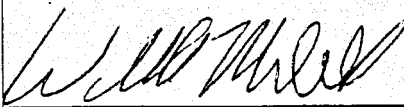
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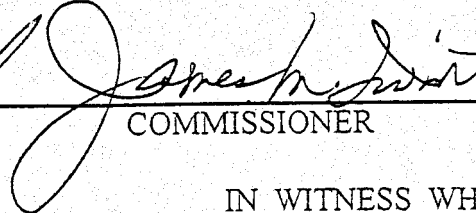
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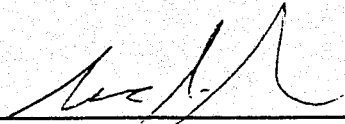
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IT IS FURTHER ORDERED that this Decision shall become effective immediately.

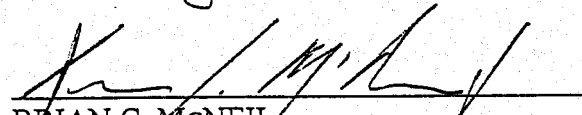
BY ORDER OF THE ARIZONA CORPORATION COMMISSION

  
CHAIRMAN

  
COMMISSIONER

  
COMMISSIONER

IN WITNESS WHEREOF, I, BRIAN C. McNEIL,  
Executive Secretary of the Arizona Corporation  
Commission, have hereunto set my hand and caused  
the official seal of the Commission to be affixed at  
the Capitol, in the City of Phoenix, this 16<sup>th</sup> day  
of February 2001.

  
BRIAN C. McNEIL  
Executive Secretary

DISSENT  
(sad)

This document is available in alternative formats by contacting Shelly M. Hood, ADA Coordinator,  
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